

**Modified Standard
Request for Qualifications
(Electronic Submission Required)**

Environmental Impact Statement

for

Project No. S-I15-6(214)251
I-15; Payson Main Interchange

November 14, 2013

UTAH DEPARTMENT OF TRANSPORTATION
Modified Standard Request for Qualifications
Project No. S-I15-6(214)251 & I-15; Payson Main Interchange
Summary Sheet

Please direct all questions regarding Utah Department of Transportation's (UDOT) Modified Standard Request for Qualifications (RFQ) and the selection process to the UDOT Contract Administrator, and all questions concerning the project to the UDOT Project Manager contact identified below.

1. **Project Number:** S-I15-6(214)251
2. **Location:** I-15; Payson Main Interchange
3. **ePM PIN No.:** 10263
4. **Requested Services:** Environmental Impact Study
5. **Source(s) of Funding:** State
6. **UDOT Contract Administrator:** Mr Devon Tonks
Contract Administrator
Utah Department of Transportation
Consultant Services Division
Box 148490
4501 South 2700 West
Salt Lake City, Utah 84129-5998
801/965-4184
dtonks@utah.gov
7. **UDOT Project Management:** Matt Parker
Project Manager
Utah Department of Transportation
Region 3
658 North 1500 West
Orem, Utah 84057
801/227-8034
mattparker@utah.gov
8. **Modified Standard Statement of Qualifications (SOQ) Deadline:**
See the Selection Schedule on Page 4

Submit one electronic PDF file of the SOQ (unless directed otherwise in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*) to Devon Tonks by email at dtonks@utah.gov prior to 11:00 AM on the submission date found in the Selection Schedule on Page 4. **If SOQs are sent to RFQ Selection Team members there will be a two-point deduction.** You will receive an email acknowledgment of receipt.

SOQs will not be accepted after the 11:00 AM deadline

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9. **Qualification Based Selection:** This is a Qualifications Based Selection (QBS) process based on the Brooks Act. Cost is NOT a factor in the ranking of consultants to provide the services described in Appendix C *Scope of Work* on Page 20. Refer to Page 7 for additional information regarding the consultant selection process. The Brooks Act can be found on Page 27.
10. **Type of Modified Standard SOQ Required:** Prepare SOQs in accordance with Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*, see Page 12.

If there are any changes affecting the Modified Standard RFQ, notice will be sent out via an e-mail through the Consultant Services update service.
11. **Optional Oral Interviews:** Modified Standard RFQ selections may be based on the SOQ scores. However, the RFQ Selection Team may determine it is necessary to have interviews in order to make a selection. **Refer to the Selection Schedule on Page 4 for potential interview date.**
12. **Notice to Proceed:** To be issued by Consultant Services after contract execution. Direction to begin work from any other source is invalid and will result in non-payment for services provided without authorized notification to begin work.
13. **Project Completion:** Approximately **30** months from Notice to Proceed.
14. **Forms:** Examples of UDOT Consultant Services forms referred to throughout this RFQ are available on the UDOT Web site www.udot.utah.gov/go/csforms.

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Consultant Selection Schedule

Date	Day	Action
11/14/2013	Thursday	Posting of Modified Standard RFQ on UDOT Consultant Services Project Advertisement website
12/4/2013	Wednesday	SOQs are due electronically by 11:00 AM.
12/11/2013	Wednesday	UDOT Modified Standard RFQ Selection Team Meeting
12/17/2013	Tuesday	UDOT Consultant Selection Interviews
12/17/2013	Tuesday	Consultant Selection
12/23/2013	Monday	Mandatory Pre-Negotiation Meeting with Selected Consultant

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Appendix B: *Proposed Key Personnel to Be Used on UDOT Project*

The Form and an example of the completed form, along with further descriptions of the column headings are available at www.udot.utah.gov/go/csforms19

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Overview:

UDOT Consultant Services staff facilitates RFQ Selection Teams through the ranking and selection of consultants to provide engineering services for transportation related projects. Consultant selection is a Qualification-Based Selection (QBS) process, where the primary factor in selection is the qualification-based criteria outlined by the RFQ Selection Team in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications* rather than the cost of engineering services. Cost is a secondary factor after a Consultant is selected and the negotiation process begins.

The RFQ Selection Team will review and evaluate submitted SOQs. SOQs are ranked for qualifications, based on pre-determined criteria. If the RFQ Selection Team determines Consultant Selection Interviews are needed in order to determine final ranking, then interviews will be included in the process. Final ranking will be determined by the average of the RFQ Selection Team members' scores from SOQs and Consultant Selection Interviews, if necessary (see Selecting by Consent on Page 18).

UDOT follows federal regulations in selecting consultants for engineering services, based on the Brooks Act (40 U.S.C. 11) found on Page 27. Cost is **NOT** a factor in the selection ranking of a Consultant to provide services. All price/cost related items which include, but are not limited to direct salaries / wage rates, indirect cost rates, and other direct costs are prohibited from being used in SOQs. Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.

DO NOT include any reference to Consultant costs in the Modified Standard SOQ. Any Modified Standard SOQ submitted with ANY discussion of cost (other than cost control measures) **WILL BE DISQUALIFIED.**

Project Dates

Consultants are required to meet the dates set for the **optional** oral interviews and negotiation meetings. Consultants are also advised to meet other dates outlined in the Selection Schedule on Page 4. If a consultant fails to meet these dates the consultant will be considered non-responsive.

Required Percentage of Work for Prime Consultant

The selected Consultant must perform work valued at not less than **30%** of the total work, excluding specialized services, with its own staff. Specialized services are those services or items not usually furnished by a consultant performing the particular type of services requested in Appendix C *Scope of Work*.

Required Completion and Acceptance Criteria

Progress payments will be made for work in progress. Final invoice payments shall be made after all of the work has been completed and the final estimate, project records, and documentation have been received and accepted by UDOT as accurate and complete.

Applicable Federal and State Requirements

The Consultant shall conform to all applicable state and federal regulations.

Debarment Certification

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Federal regulations required certification by prospective participants (including contractors, sub-contractors and principals) as to current history regarding debarment, eligibility, indictments, convictions, or civil judgments. The selected Consultant will be required to certify in accordance with contract Standard Terms and Conditions.

Authorization to Begin Work

Notice to proceed will be given by Consultant Services as soon as the contract is approved and signed by all parties and returned to Consultant Services.

Required Key Personnel Qualifications

The Consultant shall be responsible to ensure that all personnel proposed under this Modified Standard RFQ be qualified through training, experience and appropriate certification for the tasks assigned and shall have a working knowledge of UDOT standard processes.

The Consultant is expected to complete the form Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Completed forms in SOQs should state the certification and education levels of the individuals proposed for use on this contract including sub-consultants' personnel. **The completed form must be included in the Modified Standard SOQ, but will not count as one of the allowed pages.**

UDOT's requirements for listing current or former UDOT employees as key personnel in Modified Standard SOQ's are as follows:

- If a firm lists a former UDOT employee on the Modified Standard SOQ who officially left UDOT employment prior to the date of submittal of the Modified Standard SOQ, the firm will not be disqualified.
- If the firm lists someone who has not yet left UDOT employment, even if the employee plans to retire or quit soon, **the firm will be disqualified.**
- In addition, if a firm lists a UDOT employee who was involved in the development of the RFQ for this project, whether they are a current employee of UDOT or not, **the firm will be disqualified.**
- These requirements apply to prime and sub-consultants.

Required Availability of Key Personnel

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the work on the contract at whatever level the project requires.

Required Modified Standard SOQ Contents

The Modified Standard SOQ from the Consultant should contain the information identified in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*.

Modified Standard SOQ Evaluation Procedures

The RFQ Selection Team will evaluate the Modified Standard SOQ in accordance with the criteria described in Appendix A *Guidelines for Preparing Modified Standard Statement of Qualifications*.

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Conditions of Proposal

All costs related to the preparation of the Modified Standard SOQ and any related activities, such as interviews, are the sole responsibility of the Consultant. UDOT assumes no liability for any costs incurred by Consultants throughout the entire selection process.

Disposition of Modified Standard SOQs

Modified Standard SOQs and their content become the property of UDOT and are treated as protected documents, and are disposed of according to UDOT policies. UDOT reserves the rights to reject all Modified Standard SOQs. The Modified Standard SOQ of the successful Consultant shall be open to public inspection for a period of one year after award of the contract. Modified Standard SOQs of Consultants who are not awarded a contract shall not be open to public inspection and will be destroyed once the contract is executed with another consultant.

If the Consultant selected for award has required in writing the nondisclosure of trade secrets and other proprietary data so identified, the Consultant Services Manager shall examine the request in the Modified Standard SOQ to determine its validity prior to award of the contract. If the parties do not agree as to the disclosure of data in the contract, the Consultant Services Manager shall inform the Consultant in writing what portion of the Modified Standard SOQ will be disclosed and that, unless the Consultant withdraws the Modified Standard SOQ, the information will be disclosed. If the Consultant withdraws their Modified Standard SOQ, the Consultant will not be awarded the contract.

Ownership of Documents

All tracings, plans, manuscripts, specifications, data, maps, etc., prepared or obtained by the Consultant as a result of working on this contract, shall be delivered to and become the property of the Department.

Financial Screening

UDOT requires consultants to be Financially Screened prior to performing work for UDOT. The selected Consultant has two weeks after selection to complete the financial screening process. **Inability to complete the financial screening process will disqualify the Consultant's SOQ, unless the delay is due to problems or delays by UDOT.**

The time it takes a Consultant to complete the Financial Screening process varies and therefore UDOT encourages Consultants to submit their *Financial Screening Application* as soon as possible.

Consultants may obtain the *Financial Screening Application* from the UDOT Web site www.udot.utah.gov/go/csforms. For questions, contact the Consultant Services Financial Screener at 801/965-4138. A Consultant's Financial Screening status is effective for the period of one year from the time the Consultant is approved.

Audits:

Prior to final contract award, an audit may be conducted by UDOT of the selected Consultant. This audit will be for the purpose of ensuring the selected firm is financially capable of performing the contract, the cost information and prices quoted are reasonable, and the selected Consultant has adequate accounting practices to ensure accurate tracking

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of contract costs. UDOT reserves the right to inspect Consultant records associated with this project, including financial records, as deemed necessary during the term of the contract.

Prior to final acceptance of the contract work, UDOT may conduct a closing audit of the Consultant. This closeout audit will be performed upon completion of the contract to verify the accuracy of all billings and compliance with the contract provisions.

In the event that a proposing Consultant has failed to pay UDOT monies due to UDOT for over payment on past projects, UDOT has the right to reject and/or disqualify the firm's Modified Standard SOQ. Disqualification will be based on audit findings, determinations, and recommendations made by the UDOT Fiscal Audit Division.

Insurance Certificates

The Consultant is required to provide UDOT with Certificates of Insurance meeting the current guidelines. Locate current insurance requirements at www.udot.utah.gov/go/csmanuals.

Health Reform – Requirement for Health Insurance Coverage in State Contracts

As required by UCA 72-6-107.5, effective July 1, 2009, UDOT will not enter into a contract of \$1,500,000 or more with a prime Consultant or \$750,000 or more with a sub-consultant without demonstration of compliance regarding the offering of "Qualified Health Insurance Coverage" to their employees. Prior to issuing a Notice to Proceed, the Consultant must demonstrate compliance with the provisions of Administrative Rule R-916-5. A Consultant's inability to adequately demonstrate compliance may be grounds for determining a Modified Standard SOQ non-responsive and UDOT moving on to negotiate with the new first-ranked responsive firm.

Subscription to the UDOT Consultant Services Update Service

UDOT recommends Consultants interested in proposing a Modified Standard SOQ subscribe to the UDOT Consultant Services Update Service on the UDOT web site www.udot.utah.gov/go/subscriptionlist.

If there are any changes affecting this Modified Standard RFQ, notice will be sent out via an email through the Update Service.

Consultant and/or Corporate Logos or Branding

Consultant and/or corporate logos or branding identification may no longer be displayed in **public** documents or products produced for UDOT beginning July 1, 2005. It is UDOT's intent that consultants should place identifying information, in text format, in appropriate places in documents. **This requirement does not apply to Modified Standard SOQ's.** For specific questions or further guidance, please contact Gaye Hettrick, Consultant Services Manager, 801/965-4639 or ghettrick@utah.gov.

Consultants and/or corporations are specifically restricted from placing logos or branding in the following items:

- Plan Sheets or Title Blocks

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- Environmental Documents
- Standard UDOT Forms
- Project Websites
- Cover Pages
- Headers/Footers, and
- Information and Display Boards for Public Meetings

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Appendix A

Guidelines for Preparing a Modified Standard Statement of Qualifications

Introduction:

These guidelines were developed to standardize the preparation of Modified Standard SOQs by Consultants for engineering services on a UDOT project. Submitting an Modified Standard SOQ is the beginning of the selection process and is used as the basis for selecting or for short-listing Consultants. If the RFQ Selection Team determines interviews are necessary prior to selection, a minimum of at least two Consultants will be short-listed and invited to an interview by the RFQ Selection Team.

The purpose for these guidelines is to assure consistency in format and content in Modified Standard SOQ' prepared by Consultants and submitted to UDOT. Preparing a Modified Standard SOQ instead of a detailed proposal reduces the time requirements for consultants and simplifies the review process for the RFQ Selection Team.

Electronic Submission:

The Department's goal is to migrate to electronic processes wherever possible. Consultant Services intends to require all Modified Standard SOQ's to be submitted solely by electronic means.

Modified Standard SOQ Sections:

The Modified Standard SOQ should contain the following sections in the order listed.

1. Cover Page
2. Project Team
3. Capability of the Consultant
4. Approach to the Project
5. Appendix B *Proposed Key Personnel to be Used on UDOT Project*

Modified Standard SOQ Evaluation Criteria:

The SOQ evaluation criteria are listed below in red.

Cover Page

The Cover Page is one page. It must be on the Prime Consultant's letterhead and consist of the following with no additional information:

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Cover Page	
Date	
RFQ Name and Description	
Prime Firm	
Prime Firm's Federal ID#	
Sub-consultants (if any)	
Primary Contact	
Primary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Secondary Contact	
Secondary Contact Name (Prime)	
Address	
City, State, Zip	
Email	
Office Phone	
Cell Phone	
Signature Block	
Name	
Title	
Signature	

The information is not required to be in this exact format, as long as each item of requested information is presented, **with no additional information**. If there is any other information provided in the Cover Page, the Cover Page will be stripped from the SOQ and will not be provided to the RFQ Selection Team. **In addition, a one-point deduction will be assessed if the Cover Page includes additional information.**

No evaluation points are assigned to this section and the Cover Page will not count as one of the allowed pages.

1. **Project Team** – The RFQ Selection Team will consider how well the qualifications and experience of the proposed team members relate to the specific project. The RFQ Selection Team recommends the following information should be provided.
 - Project Team flow charts including sub-consultants (see sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms).

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- Describe the qualifications, experience, and availability of key personnel on your proposed project team. (NOTE: Do not include percentages of availability, as this may be misinterpreted as a reference to cost.)
- Provide a spreadsheet list of projects **completed** by key team members during the last five years. The spreadsheet column headings should include the following items. (See sample *Project Organization and Related Experience Chart* available on the UDOT web site www.udot.utah.gov/go/csforms.) Note: Columns may be combined in order to meet the font size and margin requirements under Modified Standard SOQ Format Requirements on Page 15.
 - Name of Project Manager
 - Year
 - Type of Project
 - Project Name
 - Project Location
 - Project Description
 - Services Performed / Specific Project Role
 - Client
 - Reference Contact and Telephone Number

A maximum of 35 points is available for this section.

2. **Capability of the Consultant** – The RFQ Selection Team will evaluate the Consultant's capability to perform the work.

- Describe your firm's capability to perform the work.
- Describe any unique qualifications your firm has to perform this type of work.
- Describe your firm's internal quality and cost control procedures.
- Describe your firm's experience with the specific type of work identified in Appendix C *Scope of Work*.
- Identify the location of the main office of the proposing firm and the logistics relating to how the project team will provide the services requested.
- Describe the overall performance record of the proposed project team firms.
- Provide an analysis of the project team firms' current workload.

A maximum of 20 points is available for this section.

3. **Approach to the Project** – The RFQ Selection Team will evaluate how well you have planned a basic course of action, what alternatives and/or preliminary approaches are proposed, and what provisions are identified for dealing with potential impacts:

- Describe the course of action proposed to meet the needs, goals and objectives of the project. Be realistic, clear and concise.
- Identify key project milestones.
- Identify potential impacts, impediments, conflicts or potential mitigation.

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- Describe potential innovations, opportunities and/or advantages.

A maximum of 45 points is available for this section.

5. **Appendix B Proposed Key Personnel to be Used on UDOT Project**– The Consultant is expected to complete the Appendix B *Proposed Key Personnel to be Used on UDOT Project* (see example in the RFQ). Firms are not required to use this example form, as long as all necessary information is included in a form presented in the Modified Standard SOQ. The form must state the certification and education levels of the individuals proposed for use on this contract, including sub-consultants' personnel.

When Consultants list personnel on Appendix B *Proposed Key Personnel to be Used on UDOT Project* form, the Consultant is agreeing to make the personnel available to complete the services in the contract at whatever level the project requires.

The completed form must be included in the Modified Standard SOQ, but will not count as one of the allowed pages. No other information is allowed on these pages. No evaluation points are assigned to this section.

Modified Standard SOQ Format Requirements:

It is very important that SOQs be clear, concise, and in the recommended format so they may be evaluated in an objective manner by the RFQ Selection Team.

A maximum total of 100 points is available for the Modified Standard SOQ.

One-point penalty deductions:

1. **Color is allowed.**
2. **8-1/2" X 11" or 11" X 17" Page Sizes** – This requirement is addressed below in the list of Disqualifications.
3. **One (1") Margins** – Exceptions: Consultant Name/Logo and Page Headers/Footers may be within the margin.
4. **Font and Spacing Requirement** – The body of the SOQ is required to be written with a 10-point [or greater] standard Arial or Times New Roman font, including the Cover Page, Project Experience Table and Appendix B *Proposed Key Personnel to be Used on UDOT Project*. Exceptions will be made for section headings, paragraph headings, graphics, headers and footers. Excepted text may be any other font and size as long as the text is reasonable and can be easily read by reviewers without the need of magnification in order to understand what is being presented. The minimum line spacing is 12-point.
5. **Charts, Graphs, and Pictures** – Optional and counted as page(s). If the graphic is a duplicate from another source, it must be referenced. Charts, graphs, headings, and headers/footers are excepted from the font requirements, see font requirement above.
6. **Page Headers/Footers** – May be within the one-inch margins; and must include Project Number, Project Location/Description, and Current Date.
7. **Related Experience Chart and Project Organization Chart are required** – Sample charts are available on the UDOT web site www.udot.utah.gov/go/csforms.

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8. **Cover Page** – Is required as the first page of the PDF, but does not count towards the page maximum. The Cover Page must be on the Prime Consultant's letterhead and is limited to the instructions provided. The Cover Page may be presented in any format the Consultant chooses, i.e. text, chart, etc. The Cover Page must meet the font requirement above. No additional informational information is allowed. No additional back page is allowed.
9. **Appendix B Proposed Key Personnel to be Used on UDOT Project** – The completed form is required and will not count towards the page maximum.

A one-point penalty will be assessed by Consultant Services for each applicable violation of the above format requirements for a maximum nine-point penalty per Modified Standard SOQ.

Two-point penalty deductions:

10. **Do not send SOQs to RFQ Selection Team Members** – send SOQs to the contract administrator, not directly to any RFQ Selection Team members, see instructions on Page 2.

Two-point penalties will be assessed by Consultant Services for violation of the above format requirement(s).

Three-point penalty deductions:

11. **8-Page Maximum** – (The SOQ has a maximum page limit of (eight pages.)

A page is defined as a single-sided 8-1/2" X 11 sheet that contains text, pictures, tables, graphs, charts, plan sheets or any other graphic.

Do not include a reference or link to additional information. If SOQs contain references or links, UDOT Consultant Services will assume additional pages are used.

The Modified Standard SOQ is expected to consist of the following:

- Cover Page (one page)
- SOQ (8 pages, including the *Project Experience Chart*)
- Appendix B (no page limit)

Any Modified Standard SOQ that exceeds the 8-page maximum will receive a three-point penalty per page over the limit.

Disqualification:

12. **Late Submission** – Any SOQ received by Consultant Services after the 11:00 AM deadline.
13. **Electronic PDF Submission** – Submit one PDF file (containing all of the SOQ sections in the order presented in Modified Standard SOQ Sections on Page12) to Devon Tonks at dtonks@utah.gov.

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14. **Cost Discussion** – Do not include any reference to costs in the Modified Standard SOQ. Cost discussions are not allowed (other than cost control measures). Cost control measures should not be quantified in dollar amounts, but rather in how the process improved the project.
15. **Use of UDOT staff** – Use of current UDOT employees or former staff who were involved in the development of the Modified Standard RFQ. Refer to Required Key Personnel Qualification on Page 8 for more information.
16. **Financial Screening** – Consultants are required to complete the UDOT Financial Screening process within two weeks of selection. Refer to Financial Screening discussion on Page 9 for further details.
17. **Other** – UDOT reserves the right to disqualify a Modified Standard SOQ when the intent of the Modified Standard RFQ process is violated.

Any Modified Standard SOQs committing violations to the above format requirements will be disqualified by Consultant Services and will not be reviewed by the RFQ Selection Team.

Modified Standard RFQ Selection Team:

The RFQ Selection Team members will receive copies of each responsive Modified Standard SOQ submitted. They will review and score the Modified Standard SOQs individually based on the evaluation criteria and submit their scores and comments to the Contract Administrator. The Administrator will tally and compile the scores and comments.

The RFQ Selection Team will then meet to discuss the scores and comments and determine whether interviews are necessary or whether the selection may be made based on the scores from the Modified Standard SOQs. Final SOQ score results are determined from the average of voting RFQ Selection Team members' scores. Interviews occur when final averaged scores of the top-ranked firms have a small enough point deviation to continue a competitive selection process.

If the RFQ Selection Team determines interviews are necessary, the members will develop the format of the interviews in the RFQ Selection Team Meeting by completing the *Consultant Selection – Interview Format Worksheet*, which can be found on the web site www.udot.utah.gov/go/csforms.

Selection Interviews:

If the RFQ Selection Team determines interviews are necessary, the following project-specific topics may be some of the issues discussed.

- Understanding of the Work
- Approach to the Project
- Schedule Control
- Management of the Project

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“Selecting by Consent” Process:

The final selection process during interviews will be performed using the “Selecting by Consent” (SBC) process developed by the Consultant Selection Interview Process Quality Improvement Team officially implemented August 12, 2004.

The SBC process is a scoring process that aids the RFQ Selection Team in developing final ranking through a collaborative process. In this process each segment and question of the interview is weighted in advance during the RFQ Selection Team Meeting. After the interviews are conducted, the RFQ Selection Team scores each segment and question by “consent”. Consent is defined as the willingness of all RFQ Selection Team members to accept a decision reached by a collaborative process. The final ranking is based on the final scores developed by the RFQ Selection Team using the *Consultant Selection - Interview Scores Example* found on the UDOT web site www.udot.utah.gov/go/csforms. See the form for more information regarding this process.

Summary:

The SOQ should be clear, concise, and it should provide the RFQ Selection Team Members with an understanding of the proposed Consultant Team’s ability to undertake and complete the proposed project successfully in a thorough, efficient and timely manner.

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Appendix B

Proposed Key Personnel to Be Used On UDOT Project

Name	Firm Name	Title (Proposed on project)	Certification Category/Level	Utah License/ Certification No.	Other State License/ Certification No.	Education Level

- Include all key personnel who are proposed to work on UDOT project including sub-consultants. Add additional pages if needed.
- If a Consultant has a change in key personnel during a project, they are required to submit the proposed change in writing within 10 working days to the UDOT Project Manager (and Local Government, if applicable) for approval. If the Project Manager (PM) approves, the PM will forward the change and their approval to UDOT Consultant Services and the Comptroller's Office within 10 working days. If the PM does not approve, they may request a revision of the proposal, score the Consultant lower on the Consultant Project Evaluation, or terminate the contract.
- The Form and an example of the completed form along with further descriptions of the column headings are available on the UDOT Website www.udot.utah.gov/go/csforms.

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Appendix C

Scope of Work

UDOT intends to prepare an Environmental Impact Statement (EIS) to identify transportation needs, impacts and possible solutions in Payson City, Utah County. The Federal Highway Administration will be the lead Federal Agency for this document.

Project Goals

UDOT goals for the project are to:

- Conduct a thorough, objective, and technically sound environmental study resulting in a context-sensitive transportation solution that:
 - addresses the transportation need,
 - is an asset to the community,
 - utilizes a Mobility/Congestion Mitigation Plan that maintains connectivity and accommodates planned trails, pedestrian and vehicular facilities in Payson City,
 - is sensitive to the existing businesses while allowing for potential economic growth, and
 - is compatible with the natural and built environment.
- Engage all project stakeholders in a pro-active and cooperative manner to solicit feedback, resolve concerns, and build consensus throughout the environmental study process.
- Provide comprehensive, accurate, and well-organized documentation of the environmental process.

For this EIS, UDOT is proposing a three-phased contractual approach to include the elements listed below. UDOT is open to a variety of approaches for completing/implementing each task. As described below, each phase will be comprised of the EIS tasks as defined in UDOT's Environmental Document Process (October 2012). The conclusion of each of the major tasks is associated with a deliverable item. Payment for the task will be connected to completion of the deliverable. UDOT encourages the Consultant to describe in their proposals their approach for meeting the needs described below in Phases One, Two, and Three.

Phase One

This phase includes tasks 05E (Public Involvement), 09E (Generate Notice of Intent), 013E (Conduct NEPA Scoping), 17E (Define Draft Purpose and Need), 18E (Obtain Mapping/Photography), 19E (Identification and Initial Development of Alternatives), 21E (Identify Affected Environment Resources), and 055E (Develop and Maintain Project File).

- *Public Involvement:* The Consultant will provide public involvement services necessary to communicate the scope, needs, goals, objectives, alternatives, impacts, and alternatives for the Payson Main Street Interchange EIS to the public.

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The Consultant will help UDOT determine an appropriate approach for coordinating with a variety of project stakeholders, including: Mountainland Association of Governments (MAG), local governments, resource agencies, the public, and any local and national interest groups. This task requires the development of a Public Involvement Plan.

- *Identify Study Area and Traffic Needs:* The Consultant will help UDOT identify and define the project area and the current and projected transportation needs in the Payson Main Street Interchange area using the most current transportation and land use information available. UDOT will use the transportation needs to identify the appropriate project study area and logical termini.
- *Define Draft Purpose and Need:* The Consultant will help UDOT define the traffic needs in the Payson Main Street Interchange area through the collection of existing transportation plans and models, local land-use plans, and the development of traffic models. The traffic modeling will be important to this project and should consider the UDOT and MAG long range plans for a new interchange at Main Street; recent and future development at the existing Main Street interchange; a possible future East Side Connector; and a grade separated structure at the UTA/UPRR corridor. The Consultant should plan to coordinate with Payson City as well as other entities to obtain pertinent traffic modeling data. The Consultant will use the most recent traffic demand information and refine the model as necessary to ensure the traffic model is current. Bicycle, transit, and pedestrian needs and access management should be included as part of the analysis. The Consultant will coordinate with MAG and UDOT to prepare a Mobility/Congestion Mitigation Plan using UPlan and Travelwise. A list of preliminary needs will be presented in NEPA Scoping.
- *Identification and Initial Development of Alternatives:* The Consultant will identify a range of initial alternatives for consideration. The Consultant and UDOT will develop an alternatives screening methodology and establish screening criteria. The screening criteria will be based upon items such as the project's purpose and need, engineering practicability, and the environmental resources identified in Task 21E. The Consultant will perform a preliminary screening and present the range of alternatives and the results of the preliminary screening to resource agencies and the public as part of NEPA Scoping (Task 13E).
- *Identify Affected Environment Resources:* The Consultant will develop a preliminary list of affected environment resources. UPlan and other documents and resources should be utilized as a tool at this early stage of development.
- *Conduct NEPA Scoping:* The Consultant will assist UDOT with conducting official scoping for the EIS. NEPA scoping will present the project area, preliminary needs, and issues of concern to stakeholders, as well as solicit information on additional needs, alternatives to consider, and other issues of concern in the project area.
- *Develop and Maintain Project File:* The Consultant is expected to develop and maintain a project file and system to be used throughout the environmental process.

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- *Provide a schedule in MSProject:* The Consultant will develop a detailed schedule in MSProject and update the schedule regularly. Project schedule will include activities, sub-activities, and milestones.
- *Develop a TSM/TDM alternative plan:* UDOT Region Three has been working with the Mountainland Association of Governments (MAG) and the UDOT TravelWise team to provide a series of map layers that relate to travel demand management plans and opportunities in the study area. These layers can be accessed through the project website link: udot.utah.gov/go/paysons. Include existing travel demand management plans in the development of a TSM/TDM alternative. Demonstrate the ability to focus on recent UDOT emphasis areas as it relates to the ability to incorporate travel demand management plans and opportunities into the proposed project.

After completion of Phase One, UDOT and FHWA will determine whether or not to advance the project to Phase Two.

Phase Two

This phase includes tasks 07E (Implement Public Involvement Plan), 17E (Define Project's Draft Purpose and Need), 19E (Identification and Initial Development of Alternatives), and 55E (Maintain Project File).

- *Implement Public Involvement Plan:* The Consultant will implement the public involvement plan prepared in Phase One.
- *Define Project's Draft Purpose and Need:* Based on the outcome of Phase One, the Consultant will prepare a draft purpose and need statement for the project (Chapter 1). Consultant duties may include solicitation and response to comments from FHWA and other stakeholders on the draft.
- *Identification and Initial Development of Alternatives:* Alternatives will be more fully developed. The Consultant will screen the alternatives taking into account the screening criteria defined in Phase One and include any additional alternatives proposed during NEPA Scoping (Task 13E). Once alternatives are screened, the Consultant will identify the data needs to perform impacts analysis for those alternatives being carried forward in Phase Three. Data needs will be determined in part by UDOT guidance; FHWA guidance, regulation, and policy; issues identified in scoping; and any other issues relevant to the alternatives to be advanced for detailed study. UDOT and the Consultant will determine what resource data exists and what data needs to be acquired.
- Consultant will continue to maintain the project file.

Phase Three

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This phase includes tasks 07E (Implement Public Involvement Plan), 23E (Determine Impacts and Analyze Resources), 25E (Section 4(f) Analysis), 29E (Prepare Draft Document), 35E (Revise and Release Draft Document), 39E (Complete Public Comment Period), 41E (Compile, Evaluate, and Respond to Public and Agency Comments), 43E (Prepare Final Document), 49E (Revise and Release Final Document), 53E (Prepare and Submit EIS Decision Document), and 55E (Maintain Project File).

- *Implement Public Involvement Plan:* The Consultant will implement the public involvement plan prepared in Phase One.
- *Determine Impacts and Analyze Resources:* The Consultant will collect appropriate data and perform impact analysis of the alternatives to be studied in detail as establish during Phase Two.
- The Consultant will prepare, revise, and release a draft and final document consistent with UDOT and FHWA guidelines. As part of this document process the consultant will be responsible for compiling and responding to comments on the draft document.
- *Section 4(f):* The Consultant will perform a least overall harm Section 4(f) analysis of the alternatives carried forward for detailed analysis and prepare a report to be included in the EIS.
- *Complete Public Comment Period:* The Consultant will assist UDOT in conducting a public hearing.
- *Prepare and Submit EIS Decision Document:* The Consultant will prepare the final EIS and Decision Document for UDOT and FHWA review.
- Consultant will continue to maintain the project file.

Assumptions

1. UDOT will hire an attorney through a separate contract to provide the following services, as needed:
 - Provide guidance for the project file/administrative record.
 - Provide guidance on environmental issues, including: defining purpose and need and establishing logical termini; defining a range of alternatives; reviewing alternatives analysis and selection of a preferred alternative; and reviewing Section 4(f) analysis.
 - Provide guidance as the project contemplates advances to subsequent Phases.
 - Provide miscellaneous legal counsel.
2. Consultant will provide Public Involvement (PI) staff or sub-consultant PI staff. The duties of the PI lead may include but are not limited to:
 - Designing and implementing a PI Plan.
 - Conducting the full range of PI activities, including processes required by NEPA.

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- Assisting with the preparation of presentations for stakeholders, the public, and the media.
- Coordinating stakeholder and Local Government outreach.

In the SOQ for the study, UDOT will require prospective Consultants to propose an approach, process, and schedule to accomplish the activities from all three phases listed above to meet the project goals. UDOT reserves the right to initially negotiate with the selected Consultant for Phase One, and negotiate on Phases Two and Three at a later date. UDOT reserves the right to terminate the project at the conclusion of either Phase One or Phase Two, depending upon the outcome of the phases or other unknown circumstances. UDOT additionally reserves the right to re-advertise a RFQ for Phase Two and/or Phase Three for this project.

The Consultant will accomplish all work tasks listed above and will be responsible for preparing, presenting, and publishing the appropriate components of the environmental document. All materials, including but not limited to, documents, databases, GIS layers, etc., will be delivered to UDOT and become the property of UDOT at the conclusion of each phase. The Consultant will present project progress and findings to UDOT staff as needed throughout the project.

Consultants are encouraged in their SOQ's to focus on their process to meet the project goals, rather than in-depth discussion of project issues or proposed solutions. **UDOT strongly discourages Consultants from contacting project stakeholders during this SOQ development process.**

All reference measurements shall be reported in English units. The design should be to current UDOT and AASHTO design standards.

All documents pertaining to this project will be considered part of the permanent document control record.

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Appendix D

Additional Information

QC/QA Plan Requirements:

- The Consultant will prepare, distribute, and implement the Quality Control/Quality Assurance Plan for the project. UDOT has adopted QC/QA standards and the Consultant must meet or exceed these requirements. The Standard for Design is available on the UDOT Web site www.udot.utah.gov/go/qcqa
- Document Control: All documents will be maintained in both an electronic and hard copy form. Each document will have a uniquely specific location in both electronic and hard copy formats.

UDOT Reference Items:

- UDOT CADD use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS).
- UDOT Construction Manual of Instruction (available online at the UDOT Web site www.udot.utah.gov/go/Manuals).
- UDOT Consultant Services Manual of Instruction (available on-line at the UDOT Web site www.udot.utah.gov/go/CSManuals).
- UDOT Drainage Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Environmental Process Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- Other UDOT manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT ProjectWise use and information is available on-line from the UDOT web site at www.udot.utah.gov/go/ETS).
- UDOT Reference Material (available on-line from the UDOT Web site at www.udot.utah.gov/go/StandardsReferences).
- UDOT Right of Way Design and Operations Manuals (available on-line from the UDOT Web site at www.udot.utah.gov/go/Manuals).

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- UDOT Roadway Design Manual of Instruction (available on-line from the UDOT web site at www.udot.utah.gov/go/Manuals).
- UDOT Standards (available on-line from the UDOT Web site at www.udot.utah.gov/go/2012Standards).
- UDOT Traffic and Safety Highway Sign Policies and Manuals are available on-line from the UDOT web site at www.udot.utah.gov/go/HighwaySignPolicy).
- UDOT 2013 Strategic Direction & Performance Measures (available on-line from the UDOT web site at www.udot.utah.gov/go/StrategicDirection).
- State of Utah Web Standards and Guidelines are available on-line from the web site at <http://www.utahta.wikispaces.net/Application+Architecture>).

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The Brooks Act of 1972:

Federal Government Selection of Architects and Engineers

United States Code (U.S.C.) Title 40 - Public Buildings, Property and Works

Chapter 11, Section 1101 - 1104: Selection of Architects and Engineers

§ 1101. Policy (Formerly 40 U.S.C. § 541)

The policy [of the Federal Government] is to publicly announce all requirements for architectural and engineering services and to negotiate contracts for architectural and engineering services on the basis of demonstrated competence and qualification for the type of professional services required and at fair and reasonable prices.

§ 1102. Definitions (Formerly 40 U.S.C. § 542)

In this chapter, the following definitions apply:

1. **Agency head.**- - The term "agency head" means the head of a department, agency, or bureau [of the Federal Government].
2. **Architectural and engineering services.**- - The term "architectural and engineering services" means- -
 - A. professional services of an architectural or engineering nature, as defined by state law, if applicable, that are required to be performed or approved by a person licensed, registered, or certified to provide the services described in this paragraph;
 - B. professional services of an architectural or engineering nature performed by contract that are associated with research, planning, development, design, construction, alteration, or repair of real property; and
 - C. other professional services of an architectural or engineering nature, or incidental services, which members of the architectural and engineering professions (and individuals in their employ) may logically or justifiably perform, including studies, investigations, surveying and mapping, tests, evaluations, consultations, comprehensive planning, program management, conceptual designs, plans and specifications, value engineering, construction phase services, soils engineering, drawing reviews, preparation of operating and maintenance manuals, and other related services.
3. **Firm.**- - The term "firm" means an individual, firm, partnership, corporation, association, or other legal entity permitted by law to practice the profession of architecture or engineering.

§ 1103. Selection procedure (Formerly 40 U.S.C. § 543)

- a. **In general.**- - These procedures apply to the procurement of architectural and engineering services by an agency head.
- b. **Annual statements.**- - The agency head shall encourage firms to submit annually a statement of qualifications and performance data.
- c. **Evaluation.**- - For each proposed project, the agency head shall evaluate current statements of qualifications and performance data on file with the agency, together with statements submitted by other firms regarding the proposed project. The agency head shall conduct discussions with at least 3 firms to consider anticipated concepts and compare alternative methods for furnishing services.
- d. **Selection.**- - From the firms with which discussions have been conducted, the agency head shall select, in order of preference, at least 3 firms that the agency head considers most highly qualified to provide the services required. Selection shall be based on criteria established and published by the agency head.

§ 1104. Negotiation of contract (Formerly 40 U.S.C. § 544)

- a. **In general.**- - The agency head shall negotiate a contract for architectural and engineering services at compensation which the agency head determines is fair and reasonable to the Federal Government. In determining fair and reasonable compensation, the agency head shall consider the scope, complexity, professional nature, and estimated value of the services to be rendered.
- b. **Order of negotiation.**- - The agency head shall attempt to negotiate a contract, as provided in subsection (a), with the most highly qualified firm selected under [section 1103](#) of this title. If the agency head is unable to negotiate a satisfactory contract with the firm, the agency head shall formally terminate negotiations and then undertake negotiations with the next most qualified of the selected firms, continuing the process until an agreement is reached. If the agency head is unable to negotiate a satisfactory contract with any of the selected firms, the agency head shall select additional firms in order of their competence and qualification and continue negotiations in accordance with this section until an agreement is reached.